

	<b>Regulatory Standards Division AMA-200</b>	<b>Document #</b>  <b>QP 205</b>	<b>Revision</b>  <b>2</b>
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REVISION HISTORY			
Rev	Description of Change	Author	Effective Date
A	Original	JLA	06/10/2003
1	Clarify Process, add definition	JLA	03/24/2005
2	Remove redundant terminology and streamline procedure.	RDB	02/03/06

REFERENCE DOCUMENTS	
Document Number	Document Title
QM-200	Regulatory Standards Division AMA-200 Quality Manual

## PREFACE

This procedure defines how to conduct Internal Audits within AMA-200. This will ensure that we consistently meet the AMA-200 QMS requirements.

## 0. Introduction

The AMA-200 Internal Audit Program was developed to standardize the auditing process.


### 0.1 Intent of the Internal Auditing Process

The intent of the internal auditing process is to verify that AMA-200's QMS is:

1. Implemented as described in its procedures;
2. Compliant with the ISO 9001: 2000 Standard: and
3. Effectively maintained.

### Purpose

The Internal Audit Program establishes basic audit principles, criteria and practices. It provides guidelines for establishing, targeting, planning, conducting and documenting audits as they apply to AMA-200 programs. Scheduled audits will be conducted throughout the year. All sections of the QMS will be audited over a three-year period.

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## 1. Scope

The internal audit program also provides guidelines for verifying the existence of a quality system and for validating the system's ability to achieve objectives.

## 2. Definitions and Acronyms

See Section 3.

## 3. Flowchart

There is no flowchart required for this document.

## 4. Responsibilities

4.1 The AMA-200 Management team shall:

1. Determine the purpose and general scope for a non-routine audit.
2. Determine which standards shall be used for non-routine audits.
3. Notify the management representative and the appropriate PAACE Representative, when applicable.
4. Ensure that corrective actions are initiated and closed in a timely manner.

4.2 Management representative shall:

1. Establish and maintain documented procedures for planning and implementing audits.
2. Establish and maintain an annual internal audit schedule located on the Web site. <http://www.academy.faa.gov/ama200/QMSschedule.htm>
3. Notify all branch managers of QCARs for completion.
4. Submit the audit plan to the management team for approval.
5. Provides training and instructions to the members of the organization on internal auditing procedures.
6. Coordinate with the division manager on training requirements.
7. Select audit team members and verify if they are properly trained to conduct audits.
8. Monitor all audit and follow-up activities to ensure that the requirements are met.
9. Review and approve the audit plan ([QF 205.1](#)) and final report.
10. Distributes the audit reports ([QF 205.2](#)) to Branch and Division Management.

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11. Maintain the Internal Audit Web sites and quality procedures to ensure compliance with QMS requirements.
  12. Maintain records documenting the audit process and results.
  13. Mitigate any perceived or real conflict in the audit program.
  14. Provide the management team with QCAR status at the management review meetings.
- 4.3 The Branch Manager shall:
1. Answer within ten days of receipt of the audit report a proposed corrective action plan.
  2. Inform relevant team members of an impending audit.
  3. Cooperate with the audit team to permit the audit objectives to be achieved.
  4. Develop and document all corrective actions for any audit findings.
  5. Providing all documents needed for the auditors in order for them to conduct the audit.
  6. All QCAR forms are available at the Web Site  
<http://www.academy.faa.gov/ama200/QMSforms.htm>.
- 4.4 The Lead Auditor shall:
1. Notifies the appropriate branch manager of a scheduled audit.
  2. Have authority to make final decisions regarding the conduct of the audit and any audit observations.
  3. Be responsible for all phases of an audit and provided guidance to auditors as required.
  4. Prepare the audit plan, working documents, final audit reports, gather reference materials and standards, and brief the audit team.
  5. Review and evaluate QCARs and verify effectiveness of comprehensive fixes once put in place.
- 4.5 The Auditor shall:
1. Not audit an area where he/she is responsible for the work accomplished.
  2. Review the Standard and supporting documents before beginning an audit.
  3. Check the division Web Site to verify the current revision of all documents to be used during the audit.
  4. Remain within the scope of the audit and follow the requirements of the QMS.

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5. Gather objective evidence to support all audit checklist items and generate QCARs for all nonconformities found during an audit.
6. Forward audit results to the lead auditor.

### Guidelines for Auditing

All audits will be conducted according to an audit plan. Individuals independent of the programs being audited will conduct all audits. It is our policy that scheduled audits will be conducted throughout the year and that all sections of the QMS shall go no more than three years between complete audits.

Trained auditors will follow industry guidance and the requirements of the AMA-200 Internal Audit Procedure. AMA-200 Qualified Internal Auditors will conduct the audits.

All audits will be recorded and all nonconformity issues will be transferred to a Quality Corrective Action Request (QCAR). An Audit Report for each audit will be provided to the AMA-200 management team.

The management representative shall archive all audit results and corrective actions using a basic filing system.


### Training

Employees selected to be internal auditors will be trained by the management representative to ensure their competence in the skills required for carrying out internal audits.

### Planning

The audit plan will be approved by the management representative and communicated to the auditors and branch managers. If a branch manager objects to any provisions in the audit plan, such objections will immediately be made known to the lead auditor. They will be resolved between the lead auditor and the auditee and, if necessary, the management representative may contact the AMA-200 division manager to get the matter resolved. The plan will include:

1. The audit purpose and scope;
2. Identification of reference documents and standards;
3. Identification of audit team members;
4. The date and place where the audit is to be conducted;

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5. Identification of the program being audited;
6. The expected time and duration for the audit;
7. The schedule of meetings to be held with Branch Managers or Team Leaders.

### **Auditing**

An opening meeting will be conducted. It will generally include:

1. Introduction of the members of the audit team to the Branch Manager and or Team Coordinator;
2. A review of the scope and the objectives of the audit;
3. Provide a short summary of the methods and procedures to be used to conduct the audit;
4. Establish the official communication links between the audit team and the branch manager.
5. Confirm that the resources and facilities needed by the audit team are available;
6. Confirm times and dates for the any interim meeting and closing meeting with the branch manager.

During the audit, objective evidence will be collected through interviews, examination of documents, and observation of activities and conditions in the areas of concern. All Nonconformities will require generating a QCAR and must be validated with objective evidence.

At the end of the audit the lead auditor will conduct a closing meeting with the branch manager and/or appropriate person responsible for the program concerned. The lead auditor will detail and explain all the observations documented and answer any questions that may be presented.

### **Analysis**

After all activities have been audited, the audit team will review all of their observations to determine which are to be reported as nonconformities. The audit team will then document in a clear, concise manner and collect current objective evidence. The lead auditor will review the documented observations and objective evidence for accuracy and completeness

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## Reporting

After completing the audit, the lead auditor has 10 working days to generate the final audit report. This report will be distributed to the management representative for review then communicated to the management team for corrective action development.

A corrective action plan, from audited branch, will be required within 10 days of the management representative final audit meeting.

The audit report will contain the following items, as applicable:

1. The scope and purpose of the audit;
2. Details of the audit plan, i.e. identification of audit team members and auditee's representative, audit dates, and identification of the specific organization audited;
3. Identification of the reference documents against which the audit was conducted.
4. Observations of nonconformities documented on the required forms.
5. The lead auditor will distribute internal audit feedback form QF 205.4 to audited area manager

## Distribution of Reports.

The management representative will distribute copies of the final audit report to AMA-200 division, assistant, and audited branch managers.

A filed copy of all internal audit reports will be maintained.